

FORM PTO-1390

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

ATTORNEY DOCKET NUMBER IN-5495	U.S. APPLICATION NO. (IF KNOWN) (37 CFR 15) 097869257	
INTERNATIONAL APPLICATION NO. PCT/EP00/00779	INTERNATIONAL FILING DATE 1 February 2000 (01.02.00)	PRIORITY DATE CLAIMED 3. February 1999 (03.02.99)

TITLE OF INVENTION: **POLYURETHANE AND ITS USE IN AQUEOUS PAINTING PLASTIC**APPLICATION(S) FOR DO/EO/US: **Stephan SCHWARTE and Michael HARTUNG**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371 (b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ have been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(C)(2)).
7. ☒ Amendment to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annex to the International Preliminary Examination Report under PCT Article 36

Items 11. to 16. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included
13. ☒ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A Change of power of attorney and/or address letter.
16. ☒ Other items or information:

A copy of the cover sheet from the PCT Published Application

I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. **EF325208526US** addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on June 26, 2001.


Marjorie Ellis

U.S. APPLICATION NO. 097/869257		INTERNATIONAL APPLICATION NO. PCT/EP00/00779		ATTORNEY'S DOCKET NUMBER IN-5495	
17. <input checked="" type="checkbox"/> The following fees are submitted				CALCULATIONS PTO USE ONLY	
Basic National Fee (37 CFR 1.492(a)(1)-(5)): Neither international preliminary examination fee (37 CFR 1.482) Nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO.....				\$970.00	
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO.....				\$860.00	
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.44(a)(2)) paid to USPTO.....				\$690.00	
International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4).....				\$670.00	
International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)				\$ 96.00	
ENTER APPROPRIATE BASIC FEE AMOUNT =				\$860.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
Claims	Number Filed	Number Extra	Rate		
Total Claims	10 - 20 =	0	X \$18.00	\$	
Independent claims	01 - 03 =	0	X \$80.00	\$	
Multiple dependent claims(s) (if applicable)			+ \$270.00	\$	
TOTAL OF ABOVE CALCULATION =				\$860.00	
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).				\$	
SUBTOTAL =				\$	
Processing fee of \$130.00 for furnishing the English translation later the <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				\$	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$	
TOTAL FEES ENCLOSED =				\$	
				Amount to be:	\$
				refunded	
				Charged	\$860.00

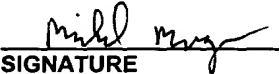
a. ☐ A check in the amount of \$_____ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. 23-3425 in the amount of \$860.00 to cover the above fees
A triplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 23-3425. A triplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:
BASF CORPORATION
 Patent Department
 26701 Telegraph Road
 Southfield, Michigan 48034-2442
 (248) 948-2355


SIGNATURE

Michael F. Morgan
 Name
42,906
 REGISTRATION NUMBER

PATENT

(Practitioner's Docket No. IN-5495)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Stephan SCHWARTE
Michael HARTUNG

Serial No.: This application is a National
Phase of Patent Application
PCT/EP00/00779 filed 1 February 2000.

Group Art Unit: Not Assigned

Filed: June 26, 2001

Examiner: Not Assigned

For: POLYURETHANE AND ITS USE IN AQUEOUS PAINTING PLASTIC

Assistant Commissioner of Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EF325208526US

Date of Deposit June 26, 2001

I hereby certify that the following attached paper or fee

☒ Combined Declaration and Power of Attorney

☐ 03 Page(s)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)


Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g.

complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.

PATENT

(Practitioner's Docket No. IN-5495)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Stephan SCHWARTE and Michael HARTUNG

Serial No.: This application is a National Phase of Patent Application PCT/EP00/00779 filed 1 February 2000.

Group Art Unit: Not Assigned

Filed: June 26, 2001

Examiner: Not Assigned

For: POLYURETHANE AND ITS USE IN AQUEOUS PAINTING PLASTIC
Commissioner of Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EF325208526US Date of Deposit June 26, 2001

I hereby certify that the following attached paper or fee

<input type="checkbox"/>	English Application PCT/EP00/00779				
	Specification on	<input type="checkbox"/>	pages;	claims on	<input type="checkbox"/>
	the abstract on	<input type="checkbox"/>	page(s);	drawings on	<input type="checkbox"/>
					page(s).
<input type="checkbox"/>	German Application PCT/EP00/00779				
	Specification on	<input type="checkbox"/>	pages;	claims on	<input type="checkbox"/>
	the abstract on	<input type="checkbox"/>	page(s);	drawings on	<input type="checkbox"/>
					page(s).
<input type="checkbox"/>	Cover pages of Priority Documents	<input type="checkbox"/>		Page(s)	
<input checked="" type="checkbox"/>	Cover page of Published PCT-application	<input type="checkbox"/>	01	Page(s)	
<input type="checkbox"/>	Information Disclosure Statement				
<input type="checkbox"/>	From PTO-1449				
<input type="checkbox"/>	Cited References				
<input type="checkbox"/>	International Search Report				

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)


Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g. complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.